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Guidelines for planning community participation activities in water supply and sanitation projects

Anne Whyte



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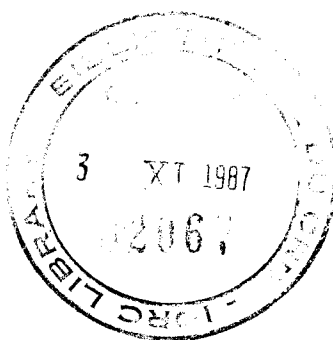
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The International Drinking Water Supply and Sanitation Decade

Guidelines for planning community participation activities in water supply and sanitation projects

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FOREWORD

In recent years the concept of community participation has assumed an increasingly important role in development philosophy. This has been especially so in the health sector where, within the framework of the primary health care approach, it has been stated that communities have both the right and the responsibility to be involved in the planning and implementation of their own health programmes. Similarly, in water supply and sanitation programmes, planners have come to realize that community participation, among other things, is essential for projects to be successful. This represents a vast change from former projects in which the community was seen as a passive recipient of facilities planned and provided by the central government.

It cannot be expected that the switch from centrally managed to community-based projects will happen overnight. In many countries it will require significant changes in policy together with the reorganization and reorientation of staff. There are some noteworthy examples where the change has taken place and where communities have been encouraged to become involved in the solution of their water supply and sanitation problems. Where this has happened, the role of the government has been to provide support to communities in their efforts to achieve their objectives.

It is against this background that this book has been prepared. The guidelines presented here are in a simple and readily understandable form and lead the planner through the "what, when, where, why, how and who" questions associated with the community participation process.

The original draft was prepared by Dr Anne Whyte and the International Reference Centre for Community Water Supply, The Hague, Netherlands, at the request of the World Health Organization. In The Hague, Dr Christine Van Wijk made a major contribution to the draft and Dr Paul Kirkhoven was responsible for coordination of activities.

The first draft was then reviewed by more than forty experts whose comments and recommendations have considerably improved the book. The World Health Organization wishes to extend special thanks to them.

The World Health Organization would welcome comments from health, water supply, and sanitation officials who use these guidelines in their programme or project work. Such feedback of experience will be of great assistance in the preparation of future editions of this book and will help to ensure that no details have been overlooked. Comments should be addressed to The Manager, Community Water Supply and Sanitation, Division of Environmental Health, World Health Organization, 1211 Geneva 27, Switzerland.

Chapter 1

INTRODUCTION

THE DECADE APPROACH

Experience gained over the years in water supply and sanitation projects shows that best results are obtained only when communities participate in the planning and running of projects and when other sectors contribute simultaneously to the development effort. In the light of this knowledge, multisectoral development and community participation strategies were adopted for the projects to be undertaken during the International Drinking Water Supply and Sanitation Decade. As to existing projects, it was decided that single-sector programmes would be linked closely to other sectors, particularly to health education activities within the framework of the primary health care approach.

The emphasis on community participation in new projects implies that communities will be involved early in project planning and will be encouraged to play an active and decisive role in them. Once a project is launched, the community will be responsible for running and maintaining the facilities built as part of the project. The importance being given to community participation is further reflected by the fact that it will be one of the criteria by which national programmes will be evaluated for support by external aid agencies.

According to the 1975 data for populations in rural areas, only 22% had reasonable access to water and 15% to sanitation. The Decade target of adequate water supply and sanitation for all by 1990 seems attainable only through the generation of affordable, socially relevant, self-reliant, and self-sustaining projects. A major observation from past experience is that for projects to be accepted and to continue to be utilized, their benefits must be clearly perceived by the users, and the community must be able to meet on-going project costs and maintain the equipment. Much, therefore, depends on being able to mobilize community participation successfully in sector projects and national programming.

What is community participation?¹

In simple terms, community participation refers to the involvement of the people in a community in development projects. Since social, economic, educational, and other conditions differ from one community to another, the form and degree of people's involvement in development activities also vary. This makes it difficult to define community participation precisely; however, since it implies action by the people to solve their own problems, it can be understood in terms of activities performed by the communities in development projects. Broadly, these include:

- assessment of the local situation;
- definition of the problems;
- setting of priorities;
- making decisions;
- planning of action programmes to solve the problems;
- sharing responsibility in project implementation;
- evaluating and modifying the project.

¹ The terms "community involvement", "popular participation", "self-help" and "self-reliance" are also used, and some authors make fine distinctions among them.

Even within each of these activities the involvement and responsibilities of communities often vary. For example, some communities contribute only labour for the running of a project, while others contribute financially as well.

Thus, any project that requires people in a community to be responsible for any one or more of the above activities may be called "participatory". But experience has shown that participation in just one or two of the activities alone is not sufficient to achieve good results. Therefore, the Decade approach emphasizes that community participation in water supply and sanitation projects should involve at least the following four areas:

- (a) communities should be involved in the planning of projects;
- (b) communities should be responsible for the implementation, operation, and maintenance of the projects;
- (c) the whole community should share the benefits of the project;
- (d) the community should participate in the evaluation and modification of the projects.

Who participates?

A major consideration is who participates. In the Decade approach, much emphasis is being placed on encouraging all groups within a community to participate and cooperate with each other. The aim of this strategy is to reach the "poorest of the poor" and other groups disadvantaged by their ethnic origin, religion, social or economic status, or sex.

In the past, greater involvement in projects has come from the economically advanced regions and communities and their leaders. Others have remained more passive and tended to receive fewer projects, the few projects received being "delivered" to them. These, however, are the very communities where a participatory approach could bring the most benefits even though they have the least experience of involvement in the development process. In such communities a participation strategy needs to be designed and developed with the utmost care because past successes have often been outnumbered by failures.

The Decade approach, therefore, places a major obligation on project staff to involve local people in development projects and to make that involvement as genuine and as broad-based as possible. Recognizing the constraints to progress that are inevitable in expanding participation, it remains important for all programme documents to:

- (a) set out clearly the national goals for community participation;
- (b) discuss the problems and past experience of participation;
- (c) describe the degree of involvement and who will be involved in the programme;
- (d) propose ways by which people in the most disadvantaged regions and communities will be provided with opportunities to participate.

The need for political commitment

The ramifications of adopting a community participation approach can be extensive and should not be considered lightly. They will affect programme planning, budgeting, and actions at the operational level and, most importantly, at the political level.

Involving communities in the planning, implementation and evaluation of projects implies that a new closer relationship will have to be established between the government health authorities and the people. In particular, all staff, from the village-level health worker to the national policy-makers, must appreciate the need for this type of partnership and should reflect this thinking in developing new community projects.

In practical terms this means that new or retrained field staff may be needed to inform people about the community participation approach and to organize the communities so that they are able to participate effectively. At the level of the operating agency or department, changes may be required to alter the structure and orientation of the planning department concerned with project development. Without such changes at all levels, a community participation approach is unlikely to succeed.

It is clear that political commitment at the highest level will be required to make such changes. The politicians will have to play a particularly important role in the selection of objectives and priorities (see Chapter 4) in the merging of community development goals of the Decade with national political objectives. Here it is important to note that political commitment to the community participation approach must be maintained throughout the process of planning and implementation of projects.

A multisectoral approach to development

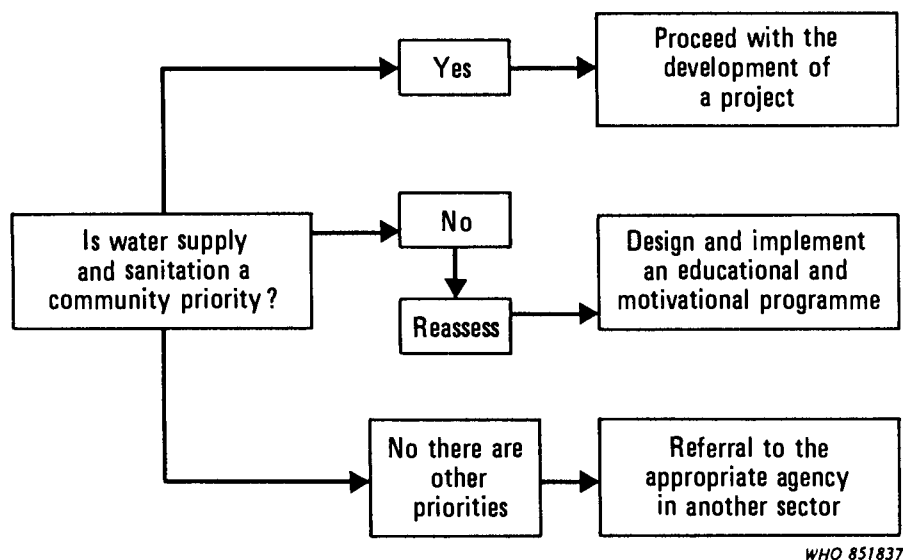
One of the far-reaching implications of the community participation approach is that it allows and encourages people to select development projects in relation to the priority they accord to various development issues.

Not all communities will give priority to water and sanitation for health purposes. However, proposals for projects on drinking-water and sanitation should be made because they can serve as entry points for projects in other sectors. For example, preliminary discussions regarding water supply might help identify major concern for the care of animals or irrigation to extend the growing season. However, for this approach to work it is necessary that agencies concerned with water supply and sanitation have close links with other sectors so that when people express concern about other development problems appropriate government departments can be informed about them.

Conversely, other sectors may identify communities with strong potential for a water and sanitation project. These need to be referred to the appropriate DWSS (drinking-water supply and sanitation) planning unit. To facilitate community referral between sector agencies, national planning committees for the Decade can seek to establish an agreed referral mechanism with other agencies.

At the community level, if initial enthusiasm for a water and sanitation project is lacking, the community participation approach can include an educational component to increase awareness of the benefits of such a project (see Fig. 1).

Fig. 1. A flow-chart showing how to start a water and sanitation project with community participation



HOW TO USE THIS GUIDE

General

The rationale behind the guidelines proposed in this book is that, within a range appropriate to the national setting and current local development strategy, the more a community participates in a project, the greater will be the prospects for success.

The involvement of communities in development projects must be more than a good intention. Community participation has to be planned in detail, and real, rather than hoped-for, financial and manpower resources have to be explicitly committed to it at the outset. Furthermore, before considering requests for support, international aid agencies are now demanding that national plans show that communities are becoming more involved in their own development programmes, and that involvement begins early in the planning process.

The approach adopted here is based on the following premises:

1. There is no one model of community participation suitable for all situations.
2. The experience gained so far shows that great attention needs to be paid to details, particularly to details of the planning phase.
3. There is a wealth of experience in community participation that has potential value for use in programme design.
4. Prior experience must be sufficiently evaluated before new programmes are designed in order to avoid repetition of mistakes.
5. The community participation strategy requires consideration and integration of actions to be taken at all levels, from the community level up to government level.

This book is designed to guide the community participation strategy in two ways. First, it describes a planning process for participation that can be extended to the overall national planning process for the Decade programmes. Second, it includes check-lists of activities related to problems encountered in community participation that must be considered at different stages of the planning process. These check-lists are distilled from experiences gained around the world, but still do not exhaust all the possibilities.

The degree to which a community is involved and participates in planning, in evaluation of projects, and in sharing benefits will vary according to the priorities and objectives of the national government as well as to the traditions and expectations of the communities. With the help of the check-lists provided in this book, planners can decide how far they can reasonably apply the community participation strategy in the different aspects of project development. The example given in Table 1 considers the role of the local organization in the planning of a community development project.

Table 1. The role of the local organization

Question	Points to consider
What will be the responsibilities of the local organization in the planning phase?	<ul style="list-style-type: none">- identification of problems- participation in planning- participation in setting of objectives- community information and motivation- collection of local materials- organization of voluntary labour- organization of other services- organization of fund collection- safe storage of materials, equipment- acquisition of land and negotiations concerning rights of way- organization of ceremonies during planning phase- signing of contracts- communication of progress- selection of community members for special tasks and training- data collection- review of data

A minimum level of participation might be achieved by asking communities simply to organize voluntary labour, but if it is decided to implement all of the items in Table 1, obviously a highly participatory programme is intended.

The importance of the check-list is that it enables the national planners to address each issue beforehand. The problems should not be left to be resolved during the implementation stage, or in an inconsistent, ad hoc fashion.

The community participation planning process

This guide is designed to enable planners to plan for community participation (CP) in the Decade programmes much as they would plan for any other component. It presents check-lists containing a series of tasks about which decisions need to be taken. Although the book considers problems associated with CP, it does not specify the correct solutions. The check-lists only provide alternatives that have been considered in one country or another.

The general outline of the planning tasks and their order is given in Fig. 2. These start with a set of assessments which should provide planners with the necessary information on the existing potential for CP and the probable trouble spots (Stages 1-3).

After the assessment phase (which can also be used to identify key personnel to involve in the planning process) comes the important stage of setting targets, objectives, and priorities (Stage 4). For this part of the planning process, it is important to involve the highest political representation possible.

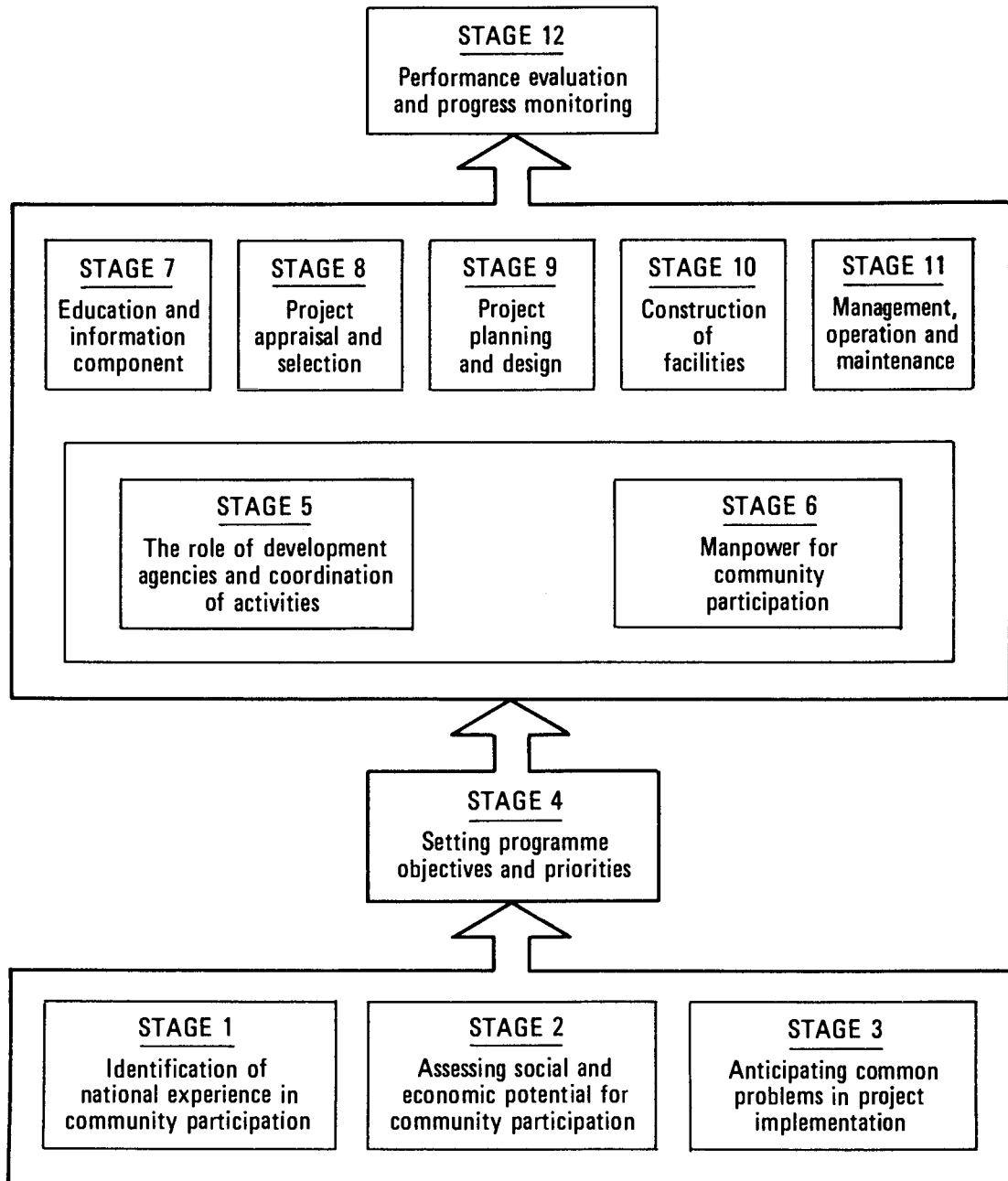
Following the setting of objectives comes a series of detailed planning phases for agency support to communities and for project implementation at the community level (Stages 5-11).

The final stage in the sequence is monitoring and evaluation (Stage 12). The importance of this stage is paramount because it is only by evaluation that past errors are detected and that procedures can be revised in order to avoid committing the same errors in the future.

The stages shown in Fig. 2, and presented as sections in this guide, require ongoing review so that the project plans can be revised regularly in order to make the decisions consistent with one another and appropriate to the available resources and constraints of manpower, economics and political support.

The CP component should not be considered or designed in isolation. It should be integrated with the overall national planning process for the Decade both in content and in scheduling. A small steering group will be needed to direct and coordinate the planning and to integrate it with other aspects of the programme. As lead times for manpower training and community education are notoriously longer than those normally allocated, the steering group will need to be specific regarding the implications of all decisions involving lead times, in the interest of coordinating the activities of others. For example, the construction of facilities will have to wait until the village workers are trained and in place, and the community is adequately prepared.

Fig. 2. Planning framework for community education and participation in drinking water supply and sanitation projects



It is envisaged that the check-lists and workplans set out in this guide will form the basis for discussion, evaluation and rational decision making. Some topics will be more usefully discussed in one setting rather than another; this is indicated for specific check-lists and workplans, both of which are intended for use:

- (a) by politicians, to familiarize themselves with the areas for discussion as regards decision making, and the necessary activities for planning water supply and sanitation programmes, so that they can give constructive support to the planning and technical staff;
- (b) by WHO staff and others when talking with national planning agencies;
- (c) by individual planning and technical personnel as guides to their written proposals and designs;
- (d) in departmental and interdepartmental meetings as a formal or informal agenda for discussion;
- (e) in discussions at regional and district office levels;
- (f) as a focus for obtaining information and inviting participation at community meetings and when interviewing community leaders.

A summary of experiences drawn from many countries is arranged under particular topics in this guide; it should simplify planning and show convincingly that designing the community participation process within the planning framework is a very practical proposition.

Chapter 2

ASSESSING THE POTENTIAL FOR COMMUNITY PARTICIPATION

INTRODUCTION

Community participation is now accepted as a key ingredient for the success of development projects in rural areas. However, for community participation to be effective, it is necessary to ensure that a suitable social, cultural, and economic climate exists in the areas where projects are to be implemented. Thus, before launching a programme based on community participation, it is judicious to assess whether or not the contemplated approach is viable.

Where experience has been gained in the implementation of projects with the involvement of communities, the prospects are good for adopting or adapting procedures that have had previous success. Check-list 1 can be used as an aid to assess past experiences, both good and bad.

Where there has been no past experience with community participation, in either water supply and sanitation projects or other local activities, it will be necessary to gather background information concerning certain social and economic conditions. An assessment can then be made as to what potential exists for applying the participatory approaches. Check-list 2 outlines the socioeconomic information that needs to be gathered in order to make a valid assessment of this potential.

Almost always problems will be identified that have either inhibited past community participation efforts or which appear to be constraints in the planning and implementation of future projects. A clear and complete identification of these problems is an essential step prior to devising ways and means of solving them. Check-list 3 gives guidance on the identification of problems that have appeared from place to place and from time to time in connection with water supply and sanitation projects; selecting appropriate responses to these problems is an important step in the planning process.

STAGE 1

IDENTIFICATION OF NATIONAL EXPERIENCE IN COMMUNITY PARTICIPATION

The purpose of the questions included in Check-list 1 is to identify which past projects (particularly water supply and sanitation projects) have included community participation.

At this point, it is not detailed evaluative information that is being sought, but a general idea of the experiences of relevant agencies and the scope of earlier projects involving CP, and most importantly, the identification of key people involved in the design and implementation of the earlier projects.

These key people will be drawn into early discussions on socioeconomic aspects and problems to be anticipated (Stages 2 and 3).

Check-list 1

Questions	Points to consider
<hr/>	
1. Which sectors and agencies have programmes involving community participation? (Specify programmes and dates.)	<ul style="list-style-type: none">- water supply- sanitation- primary health care- agriculture- rural development- education (schools, universities, or institutes)- public works (roads, etc.)- resource management- voluntary organizations- private sector- health education- bilateral or international agencies- other
2. What types of water supply programme have involved community participation?	<ul style="list-style-type: none">- urban fringe public standposts- urban fringe house connections- urban fringe bore holes with hand-pumps- combined communal water supply and sanitation stations- institutional services (e.g., schools)- wells with a mechanical lifting device- wells with manual or animal-powered lifting devices- wells without a lifting device- surface water catchment and storage- rain-water catchment- water purification- rural well/spring protection- combined with agricultural/irrigation- other
3. What types of sanitation programme have involved community participation?	<ul style="list-style-type: none">- individual latrines for each household- communal latrines/showers- bucket systems- septic tanks- night-soil collection systems- water-borne public sewage systems- oxidation ponds and ditches- conventional treatment plants- seepage pits- compost pits- garbage disposal pits- garbage collection systems

Questions	Points to consider
4. What is the scale of these programmes?	<ul style="list-style-type: none">- geographic or administrative region- area (km²)- total population served- number of communities covered- size and distribution of communities
5. What are the costs of these programmes?	<ul style="list-style-type: none">- total yearly budget and expenditure- cost of CP component- unit investment and recurrent costs<ul style="list-style-type: none">- per person or per household- per standard installation
6. Who are the key people (at all levels) who have been involved and who can best contribute to a national assessment and planning process?	<ul style="list-style-type: none">- at national level- at district level- at regional level- at local level

STAGE 2

ASSESSING THE SOCIAL AND ECONOMIC POTENTIAL FOR COMMUNITY PARTICIPATION

Much time and effort are required to document socioeconomic data. Despite the wide range of topics in this section, the intention is to keep the general description of socioeconomic conditions to a minimum and to use only those data that are already available.

It is suggested that Check-list 2 be used as the basis for one or more workshops to assess the social and economic potential for community participation. The workshops should include participants who have experience of CP in development projects (identified in phase 1) and social scientists familiar with the local situation.

The social scientists and other persons may be contacted through universities, research institutions and national research councils. Such people may also be found in voluntary organizations and other sector agencies (especially health and agriculture). They may be trained in fields such as anthropology, sociology, geography, rural development, or social psychology.

The "agenda" for the workshops can combine Check-lists 2 (social and economic data) and 3 (common problems in projects) or can treat them sequentially. Participants should be encouraged to add to and modify the topics covered by the check-lists.

The latest national census, or any more localized socioeconomic surveys, can provide useful background information for the discussion and should be available at the workshop. Participants should be encouraged to bring their own reports, research papers, etc., to start, or add to, the social and economic data files that will be used for national planning.

Check-list 2

Questions	Points to consider
<hr/>	
1. What is the settlement pattern of the population in need of services?	<ul style="list-style-type: none">- size and spacing of communities- present social (family) and economic links between them- road and service links- administrative links- migration and mobility of populations
2. What epidemiological and demographic factors may influence the community's participation potential?	<ul style="list-style-type: none">- major diseases present- mortality and morbidity patterns- infant mortality- number of children born per woman- number of women heads of household- migration patterns (especially of men)- household as a residential unit- household as an economic unit
3. What religious or ethnic beliefs may influence the design of the CP component?	<ul style="list-style-type: none">- practices in relation to water, sanitation, and health- beliefs concerning social distinctions between people- authority of religious and ethnic leaders- any relevant spiritual beliefs relating to ownership of water sources or contamination of water- time and money expenditures expected- other religious practices
4. What are the traditional rights and beliefs concerning water?	<ul style="list-style-type: none">- what are ownership rights (riparian, flowage, etc.)- who can hold water-rights (men only, both men and women, particular families, all community)- who has access to water (stream, well, spring, etc.)- are there rights for specific purposes (human consumption, animals, land)- what are related right-of-way issues (underground channels, foot access)

Questions	Points to consider
<hr/>	
5. What existing services have involved CP and what can be learned from them?	<ul style="list-style-type: none">- water- sanitation- primary health care (clinic, dispensary)- school- cooperative retail store/market- electricity- roads- agricultural cooperative
6. What are the financial resources of the community? When is cash available during year?	<ul style="list-style-type: none">- agriculture (% subsistence farming, % cash crops)- industries/crafts- wealth and savings- family land holdings- animal stocks- land tenure- marketing outlets- income/expenditures in cash and kind
7. What is the community's willingness to pay and what is the likelihood of it fulfilling its commitment?	<ul style="list-style-type: none">- amount and reliability of income- cash/kind proportions- seasonal variation- household variation- payment for other services- attitude to paying for water- other cash purchases and expenses- possibility of paying in ways other than in cash, e.g., barter and assistance in maintenance
8. What is the likely success of a system of credit facilities?	<ul style="list-style-type: none">- history of credit facilities- familiarity with credit facilities- expression of willingness to honour credit obligations
9. What levels of education can be expected?	<ul style="list-style-type: none">- for men- for women- for different age groups- literate (in what languages?)- ability to calculate- ability to read technical drawings
10. What rights and obligations exist between members of a community?	<ul style="list-style-type: none">- inheritance patterns- obligations to leaders- obligations of leaders- obligations of community members to provide service- credit rights- access to resources- legal rights

Questions	Points to consider
<hr/>	
11. What access to mass media do communities have?	<ul style="list-style-type: none">- radio, television- films- facilities for slide/tape shows- posters, use of different materials- pamphlet distribution- local plays, dance, etc.- newspapers, magazines, newsletters
12. Are there major social and cultural differences within communities?	<ul style="list-style-type: none">- communities that contain different ethnic and religious groups experience more difficulty in developing general participation- how to guarantee the participation to the poorest and lowest strata of the community- how to reach all groups in the planning and evaluation phases
13. Who are the best community leaders for different aspects of projects (e.g., decision making, fund raising, technical)?	<ul style="list-style-type: none">- how to identify opinion leaders as well as formal leaders- how to include teachers of different groups (e.g., women, youth)- how to prevent leaders from making self-serving choices- the possibility that leaders may have created a gap between themselves and rest of community- how to keep leaders well motivated towards the project by giving them roles, prestige- whether the leaders are accepted by the community- how to identify the boundaries of the leaders' authority over the community
14. What aspects of the community decision-making patterns need to be considered?	<ul style="list-style-type: none">- how the traditional decision-making patterns work- how much time decision making requires- the entry points in decision-making structure for influencing opinion- how to avoid forcing too early a (negative) decision to be expressed- how to involve disadvantaged groups (women, poor)- how to recognize formal/informal decision-making patterns- how to link the community decision-making structure to the higher level ones

Questions	Points to consider
<hr/>	
15. What traditions of self-help are there?	<ul style="list-style-type: none">- in what sectors is self-help a tradition?- has self-help been successfully used in an "outside" project?- who is involved in self-help?- how is it organized?- has self-help been misused/overused?- how many days each year do people give already to self-help?- what problems have already been experienced in self-help?
16. What is the current position of women and how is it likely to change over the next ten years?	<ul style="list-style-type: none">- what has been the role of women in community development?- what activities are open/barred to them?- what role can they play in family and community decision making?- do they have a traditional role in health care?- do they play any role in self-help?- can they become community-level workers?- how can they be readied as a primary target group for participation?- who are the women leaders?- where do women get together?- who is training women?- are women members of committees?
17. What health-related attitudes and practices must be taken into account?	<ul style="list-style-type: none">- who provides (traditional and modern) health care at present?- can traditional health care practitioners be encouraged to adopt modern techniques?- do they have time to address issues of water, hygiene, and sanitation in their work?- what are the basic traditional beliefs about causes of disease and good health?- what are the main obstacles to improved health?- what is the perceived role of water and sanitation in health?- what are the attitudes towards infant mortality ?

STAGE 3

ANTICIPATING COMMON PROBLEMS IN PROJECT IMPLEMENTATION

The main objective at this stage is to use information on the community's potential for participation (gathered in Stage 1) and on past experiences to identify the problems that are likely to occur during the implementation of the project and to prepare for each situation in detail.

At this stage too the idea must be established that problems and some degree of error in planning are inevitable, and as these arise they must be seen as an opportunity for learning and for finding appropriate responses, without delay.

It is suggested that the questions in Check-list 3 should be used as agenda items for discussion in interagency meetings and workshops.

Check-list 3

Problems	Points to consider
<hr/>	
1. Long delays between receiving requests from communities and appraising projects for approval	<ul style="list-style-type: none">- provide more information to communities on selection criteria and the time required to process requests- make quick routine checks of all applications and give an early reply to hopeless cases- make target areas smaller- screen applications at the lower administrative level- provide more resources for appraisal process
2. Cash deposits from communities may be tied up for long periods during the appraisal process	<ul style="list-style-type: none">- collect deposit in instalments- collect deposit after appraisal has been made- use other means of obtaining community commitment
3. Requests from communities not reflecting national policy for programme priorities	<ul style="list-style-type: none">- improve definition of programme objectives- examine national policy for contradictions (e.g., whether goal of developing organizational capacity is consistent with demand for local projects)- improve information to communities- modify project selection procedures- modify selection criteria (e.g., omit cash deposit for poor communities)

Problems	Points to consider
<hr/>	
4. Fewer requests from communities than could be handled	<ul style="list-style-type: none">- provide more information to communities to stimulate requests- simplify application procedures- hold regular development committee meetings at local and district levels
5. Poor reception of project planning team by communities	<ul style="list-style-type: none">- provide more, readily understandable information to communities- pay courtesy visits to leaders, etc.- use local guides or assistants- involve communities in data collection- start community education programmes- address community meeting- meet negative rumours head-on
6. Poor attendance at project meetings (small numbers; some groups not represented; few women)	<ul style="list-style-type: none">- change time, site, etc.- arrange to meet unrepresented groups separately- improve promotion of meetings- provide more opportunity for feedback- define the purpose of meetings more clearly- arrange for speaker from another community that has successfully completed a project- provide new incentives to attend (film, food, brochures)
7. Local resistance to choice of site for facilities	<ul style="list-style-type: none">- give proper compensation for acquired land, etc.- avoid sites that would be advantageous to one group or individual- clarify ownership before siting- deal with right-of-way problems- ensure that there are no access problems (caused by ownership, social status, religion, tradition, etc.)- try to determine reasons for resistance- discuss siting issues and criteria with community before finalizing choice
8. Local dissatisfaction with the level of service offered	<ul style="list-style-type: none">- improve consultation all round, especially with likely opposition (water vendors, traditional healers, well owners, etc.)- avoid preferential service (especially subsidized) for some individuals and groups

Problems	Points to consider
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	<ul style="list-style-type: none">- discuss possibilities of upgrading the service in the future- start community education process early
9. Difficulties with voluntary labour (often arising from poor experience with a previous project)	<ul style="list-style-type: none">- ensure that work distribution is fair- set timetables according to the wishes of communities- make task order flexible, if possible- pay those not benefitting directly- allow choice of labour or cash contribution- adapt labour management to local leadership patterns- make agency personnel join in some manual tasks- make tasks compatible with tradition for certain classes, religions, sex- arrange labour requirements taking into account other community work (e.g., harvesting, cultural events (religious festivals), physical capacities (end of fasting), migration patterns, etc.- take special care in mixing labour types (prison labour, food-for-work, paid labour, self-help labour, etc.)
10. Frequent and long breakdowns in service	<ul style="list-style-type: none">- improve liaison with support services to community- improve skills and attitude of operator- educate users in the proper use of facilities- increase supervision of operator by agency- increase supervision of operator by community- re-train operator or train alternate- consider training female operators- encourage prompt reporting of breakdowns with quick response from agency- improve equipment- reduce number of population served per facility
11. Long queues at facilities	<ul style="list-style-type: none">- ensure that operator works longer or at more convenient hours for users- employ 2 operators instead of one- give communities authority over the operator and his pay- prevent queue-jumping arrangements between operator and water vendors

Problems	Points to consider
	<ul style="list-style-type: none">- inform people about reasons for, and likely duration of, breaks in service- increase working service points per head of population- provide other facilities for laundry and personal washing to reduce demand- provide free access to service- propose lower rates for off-peak use
12. Misuse and depreciation of facilities	<ul style="list-style-type: none">- relocate service points to avoid contamination of water by excreta- improve hygiene at drinking-water collection points- improve water storage facilities- discourage children from playing with facilities- discourage repairs by laymen- reduce user frustration leading to wilful damage (e.g. queues, breakdowns)- deal with factionalism, prejudice, and disputes within communities, and ensure that the service is available to all- consider ways of reducing vandalism and theft- discourage overgrazing near facilities that may lead to erosion- reduce pools of water that may act as disease vector breeding points and make facilities unsanitary- increase number of service points to reduce dissatisfaction- make users directly responsible for supervising or cleaning service points- increase private facilities- improve community supervision- employ well trained operators- educate users
13. Lack of use of facilities	<ul style="list-style-type: none">- find out what other facilities (stream, ponds) are used and for what purposes and why- improve users' perception about water quality- check quality of service (e.g., poor taste, oily appearance of water)- reduce breakdowns in service and improve service reliability- reduce cost to users, or make the service free

Problems	Points to consider
	<ul style="list-style-type: none">- design facilities in accordance with local traditions (e.g., modesty, caste, female seclusion)- site facilities more conveniently- encourage local leaders to set good examples- consider multipurpose facilities to attract users (laundry, showers, place for washing and watering animals)- educate users
14. User unwillingness to pay	<ul style="list-style-type: none">- make facilities more convenient and better suited to users' needs- reduce price- modify the basis of payment (fixed rate, or base rate on consumption, distance from service, ability to pay, etc.)- make place of payment convenient (e.g., house-to-house collection)- make time of payment convenient (instalments, after harvest)- increase user satisfaction by responding to feedback (complaints)- provide incentives (discounts for prompt payments)- impose sanctions against non-payers (group pressure, disconnection)- let communities decide on sanctions and incentives- make water supply free of charge for human consumption and paid for watering animals and irrigation- pay at a service point
15. Lack of unity in community decisions	<ul style="list-style-type: none">- talk to different factions separately- allow sufficient time for the resolution of differences- give clear time limits for decisions- give clear indication of costs and consequences of delayed decisions

Important

What are the major problems associated with people's knowledge, attitudes, behaviour, and customs that need to be anticipated before the project becomes operational?

Chapter 3

PROGRAMME OBJECTIVES AND PRIORITIES

Drinking-water and sanitation programmes (DWSS) usually incorporate a number of objectives related to the improvement of health and economic conditions in communities.

Community participation in DWSS projects may specifically help governments to implement certain general social objectives, such as reducing regional disparities in economic wealth, concentrating dispersed settlements to improve the level of public services, or reducing migration to urban areas.

STAGE 4

SETTING PROGRAMME OBJECTIVES AND PRIORITIES

The check-list given in this section should facilitate discussions leading to an agreed, explicit and detailed statement of objectives, and the priorities within them. The objectives and priorities decided upon should subsequently be reviewed again at the planning stages to check for consistency between objectives and plans. The objectives and priorities established initially may have to be revised a number of times in the light of technical and financial considerations that become evident in the subsequent planning stages.

The people involved in the setting of objectives and priorities should ensure that:

- (a) an acceptable minimum level of community participation is planned for;
- (b) the degree of involvement of the community at different stages is reasonably consistent.

It is recommended that the setting of programme objectives should be undertaken by a national steering group, and that this group should include both technical personnel and political representatives.

Check-list 4

Objectives	Points to consider
<hr/>	
1. To obtain general political support from communities	
2. To increase the organizational capacities and self-reliance of communities	
3. To provide information and obtain support for specific government policies related to the Decade programmes	<ul style="list-style-type: none">- concentrating dispersed settlements- relocating settlements- settling nomadic group- reducing urban migration- strengthening local government- expanding agriculture- expanding industry- expanding infrastructure and other services
4. To ensure an equitable distribution of benefits and costs	<ul style="list-style-type: none">- disadvantaged regions- disadvantaged groups: people of low social, economic, or ethnic status; old and infirm; women and children
5. To install facilities that increase social benefits	<ul style="list-style-type: none">- improved health- increased leisure time- increased time for social organization, adult education, etc.- community development- recreational facilities- status and conditions of women and children- school attendance
6. To improve understanding of preventive health measures and to improve environmental sanitation conditions, (e.g., to interrupt the faecal-oral transmission of infection)	<ul style="list-style-type: none">- increased awareness of the importance of water quality- improvement in water storage practices- better personal and domestic hygiene- sanitary disposal of excreta, garbage, and other wastes- separation of animals from domestic environment
7. To improve school attendance, especially of children involved in water carrying	
8. To improve the status and condition of women where they perform the role of water collectors	

Objectives	Points to consider
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9. To install facilities that are acceptable	<ul style="list-style-type: none">- user acceptability- conservation of scarce resources- avoidance of adverse environmental consequences- possibility for extension/upgrading- minimizing demand on foreign exchange
10. To ensure continued functioning of facilities by motivating the community to accept responsibility for the operation and maintenance of the service	<ul style="list-style-type: none">- normal expected use- facilities for maintenance and repair- increase in demand in the future- reduction of misuse- replacement of parts and extension of service
11. To design and construct low-cost facilities	<ul style="list-style-type: none">- capital investment- labour investment- skilled labour demand- imported labour- imported materials- foreign exchange- recurrent costs of administration, operation, and maintenance- fuel demand- reliability of equipment- depreciation- capacity and willingness of community to pay
12. To install facilities that increase economic benefits desired by the community	<ul style="list-style-type: none">- time used for water collection- time spent on water related tasks (laundry, watering animals, bathing)- energy used for water collection and water related tasks- expansion of livestock activities- expansion of agriculture/horticulture- expansion of small industries/crafts- more effective use of funds for medical services- increase in labour productivity- increase in school attendance- preventing wastage of water

Chapter 4

PLANNING FOR NATIONAL AND REGIONAL AGENCY SUPPORT TO COMMUNITIES

The higher the degree of community participation in a project, the greater is the need for care in planning at the community level. This also means that communities that accept a higher level of community participation need greater support in their activities from the regional and national offices of the development agency. Two areas where a particularly high level of support is needed are manpower (skilled) and training. Both these areas have been major constraints to progress in the past.

In considering the decisions arising out of this section (Stage 5) and the next section (Stage 6) of this guide, planners should consider two points:

- (a) How much freedom of action will regional, district, and community-level personnel have?
- (b) The more freedom given to the staff to make independent decisions and to take action, the greater the need for better trained personnel.

Community participation places a considerable demand on human resources in terms of training and evaluation, but it facilitates continued operation and maintenance of facilities.

Check-lists 5 and 6

While Check-list 5 deals with issues concerning the role of development agencies in planning, implementation and coordination of activities related to community participation projects, Check-list 6 covers manpower and training questions. In Check-list 5 some of the items in the column "Points to consider" will require decisions and commitment at the highest political level.

STAGE 5

COORDINATION OF ACTIVITIES AND THE ROLE OF DEVELOPMENT AGENCIES

Check-list 5

Questions	Points to consider
1. Which agencies will be principally concerned with the planning and implementation of the Decade programmes?	<ul style="list-style-type: none">- national government agencies- regional government departments- international agencies- voluntary organizations (national, regional, local, international)- private sector- combination of above

Questions	Points to consider
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2. What are their institutional links and how will they coordinate activities?	<u>Options include</u> <ul style="list-style-type: none">- interministerial committee at highest level- interagency coordinating committees- one agency taking "lead role"- clearly defined separate responsibilities- independent activities- advisers from other agencies<ul style="list-style-type: none">attached to lead the agency (e.g., for education and rural developmentattached to water)
3. Will specific programme linkages exist between the drinking-water supply agency and other community development programmes?	<ul style="list-style-type: none">- waste disposal- nutrition- vegetable gardening- rural composting- health- livestock improvement- irrigation, fertilization- small-scale industries- adult education- home economics, recreation
4. How will drinking-water supply, sanitation, and primary health care programmes be integrated at national, regional, and local levels?	<ul style="list-style-type: none">- programmes integrated at the outset- separate programmes integrated at the community level in stages- acceptance of a single-sector project is a condition for receiving others- coordination at the regional or district levels- coordination at the national level- one community level worker for different projects- one community committee for different projects
5. Will community education and participation be the responsibility of one specific agency or unit?	<ul style="list-style-type: none">- one unit (promotion work) in the water supply agency completely responsible- two units responsible - one for promotion of CP, the other for community education- one unit in an agency of another sector responsible (agriculture, rural development, etc.)- community education tasks divided into two categories - "education before construction of facilities" and "education after construction of facilities"; two units responsible

Questions	Points to consider
6. At what level of decentrali- zation will CP agents operate?	<ul style="list-style-type: none">- national- regional- district/local- community- combination of above
7. What field and support tasks for the Decade programmes will the agency responsible for CP undertake? Who will undertake each task?	<ul style="list-style-type: none">- design and testing of CP procedures- development and testing of CP materials- training of CP personnel- distribution of programme information- channelling of requests from communities- community studies- project introduction- project information and motivation- community organization for planning phase- training for participation in construction- training for participation in operation, maintenance, and administration- users' education- health education- logistic support for operation and maintenance- evaluation of CP
8. What other agencies will be involved in field/support tasks?	
9. What will be the reporting responsibilities and communi- cation channels between all those involved in the CP programme?	

STAGE 6

MANPOWER FOR COMMUNITY PARTICIPATION

Check-list 6

Questions	Points to consider
1. Who will do CP work?	<ul style="list-style-type: none">- individual or team- men or women, or both

Questions	Points to consider
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2. How many CP workers will there be for each community or per 10 000 population (consider community size and settlement pattern)?	<ul style="list-style-type: none">- stationed permanently in community- in mobile promotion units- in district offices- in regional offices- at national headquarters
3. What other tasks will CP workers have?	<ul style="list-style-type: none">- agricultural extension- improvement of nutrition- public health inspection- collection of water charges- maintenance of facilities- primary health care- education about water-related diseases- no other tasks
4. What other workers can do CP tasks?	<ul style="list-style-type: none">- public health nurses- census personnel- nursing auxiliaries- technical team- family health workers- rural development officers- teachers
5. How much time will be allowed in each community for CP workers to do their tasks? (Decisions should be cross-checked with decisions about CP task questions 2, 3, and 4 above.)	
6. What incentives and career opportunities will be provided for CP workers? (This is needed to avoid large losses of trained CP workers.)	
7. On what criteria will CP personnel (at all levels) be selected?	<ul style="list-style-type: none">- sex, age- area of origin in relation to area of work- knowledge of one or more ethnic languages sufficient to communicate with the community- level of education (balance between minimum required for training and too high a level, which may create a distance between the worker and the community)- technical skills (water, sanitation, health)

Questions	Points to consider
	<ul style="list-style-type: none">- organizational ability- attitude towards field work/living in urban fringe community- local inhabitant of good standing likely to remain in the community- satisfactory work history
8. How will CP personnel be evaluated? (During training; after training.)	<ul style="list-style-type: none">- written tests- practical tests- interview by technical committee- interview by community committee- evaluation by training instructor
9. How will CP personnel be trained?	<ul style="list-style-type: none">- orientation course- theoretical course- practical course- on-the-job training- refresher course
10. What topics will be covered during training?	<ul style="list-style-type: none">- technical matters: water and sanitation- relationship between water, sanitation and disease- water-borne diseases (causes, symptoms, treatment, prevention)- other environmental health matters (housing improvements, drainage, protection of wells, ponds, etc.)- community data collection techniques- community organization methods- nutrition (gardening, food storage, etc.)
11. Will CP training be provided to higher levels of agency personnel? Which levels?	
12. Who will do the training?	<ul style="list-style-type: none">- existing institute in the country- existing institute abroad- programme staff- foreign team

Important

How much will this trained manpower cost in relation to available national and project resources?

Chapter 5

PLANNING AT THE COMMUNITY AND PROJECT LEVELS

With regard to planning at the community and individual project levels, major emphasis is placed here on attention to detail. Experience has shown that great care at the time of planning leads to more successful implementation of projects. Therefore, there should be explicit statements in the national plans regarding who is to make decisions on issues that are not already dealt with at the national level. However, some issues, such as the timing and content of "landmark" ceremonies during construction of facilities, can be left to the discretion of the community-level workers and the community.

It is also important to ensure that there is consistency between decisions made at the community/project level and those made at the higher levels so that:

- (a) unrealizable expectations are not generated;
- (b) impossible demands are not placed on either communities or agency officials.

Check-lists 7-11

These check-lists follow the usual sequence of the phases during project implementation:

- education and information component (Check-list 7)
- project appraisal and selection (Check-list 8)
- project planning and design (Check-list 9)
- construction of facilities (Check-list 10)
- management, operation, and maintenance (Check-list 11).

It must be recognized that the education and information component is not a single intervention but that it is an ongoing process that runs through all stages of the project. After a project is completed and is technically a successful operation, the goal of educational activities is to influence the users to make full use of facilities so that maximum health and other benefits can be derived.

The questions considered in Check-lists 7-11 can be used as agenda items for discussion between technical personnel, between agencies, and within communities.

The users of this guide may wish to bring together different groups of people for each of the topics covered by the check-lists. For example, in discussing questions concerning access to credit (Check-list 8) it may be useful to involve private and government banks, both for their expert advice and because they may be able to implement any decisions reached.

As regards decisions relating to construction of facilities or local maintenance, people with experience of working in communities, as well as some community leaders, should participate in the planning process.

STAGE 7

EDUCATION AND INFORMATION COMPONENT

Check-list 7

Questions	Points to consider
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1. What aspects of the programme will be covered in the education component?	<ul style="list-style-type: none">- general programme information (allocation criteria, etc.)- specific project information (choice of technology, level of service, siting, etc.)- self-help labour instruction- management education- education of users- training of community members for specific tasks- health education
2. What educational methods will be used for each aspect?	<ul style="list-style-type: none">(1) <u>Individual contacts</u><ul style="list-style-type: none">- house visits- visit to field-worker's office- personal cards/letters(2) <u>Group activities</u><ul style="list-style-type: none">- lectures, talks- group discussion meetings (small)- demonstrations- trips- short courses(3) <u>Mass approach</u><ul style="list-style-type: none">- mass meetings- film shows- slide shows- folk media (traditional songs, drama, etc.)- posters, slogans, banners- bulletins, folders- loudspeaker tours- announcement boards- exhibitions, displays- mass media: radio broadcasts, TV broadcasts, press articles, statements(4) <u>Combined approach</u><ul style="list-style-type: none">- radio/TV study groups- audio-cassette listening groups- popular theatre discussion groups- group training unit approach (extension agent working through carefully selected local animators)

Questions	Points to consider
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3. Who will be the target groups for each educational approach?	<ul style="list-style-type: none">(1) <u>Community level</u><ul style="list-style-type: none">- the whole community- heads of households- men/women/children/mothers- community leaders- community committee members- local teachers, health auxiliaries- community level workers- users- most disadvantaged groups- self-help labour- recruited personnel(2) <u>District/regional level</u><ul style="list-style-type: none">- district/regional officers in charge- all district/regional personnel- health workers, school-teachers- mobile technical unit personnel- all field-workers- CP workers- political figures and key leaders(3) <u>National headquarters level</u><ul style="list-style-type: none">- members of interministerial committees- technical members of interagency committees, task forces, etc.- CP personnel- all personnel working on Decade projects- personnel of some agencies (e.g., health, water supply)- key leaders and politicians- voluntary organizations
4. How will feedback be obtained?	<ul style="list-style-type: none">- directly from target groups- surveys by agency- formal reporting mechanism- question and answer sessions at meetings and through the mass media- letters to newspapers- field visits, evaluation studies- self-surveys by communities

STAGE 8

PROJECT APPRAISAL AND SELECTION¹

Check-list 8

Questions	Points to consider
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1. What CP criteria will be used in project appraisal?	<ul style="list-style-type: none">- commitment, enthusiasm for project- acceptance of project- need for project- demonstrated capability for CP- existing (self-help) facilities- existing local organizations- educational level- potential for CP
2. What indicators will be used to measure the potential for community participation?	<ul style="list-style-type: none">- formal requests from the community- willingness to contribute (cash, labour, land)- record of previous participatory activities (with other agencies/sectors or independent community activities)- formal donations given (land, cash)- community characteristics- proportion of wage-earning labour in community- number and type local organizations- suitable leadership- social homogeneity/strength of factions- settlement characteristics- size of labour force- formal acceptance of agency invitation- response to national survey
3. How will the relevant indicators be measured and appraised?	<ul style="list-style-type: none">- quantitative national surveys (recent field surveys, questionnaires)- special studies (local, systematic, project feasibility, etc.)- expert advice- desk studies- hearsay- requests

¹Note that at this stage it is essential to have data on the community's participatory potential (Stage 2).

Questions	Points to consider
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4. How are the community participation criteria to be weighted/ranked?	<ul style="list-style-type: none">- standardized ranking system- formula applied- rule-of-thumb criteria applied- all criteria applied rigidly or loosely- only some criteria regarded as being crucial
5. What other factors apart from CP criteria will be used in the overall appraisal and selection of the project?	<ul style="list-style-type: none">- hydrogeological conditions- population size- type of settlement pattern- health conditions- capacity to pay- development potential- existing facilities (water, sanitation, primary health care, schools, roads, etc.)- national policy on distribution of resources
6. How will the community participate in the appraisal process?	<ul style="list-style-type: none">- community participation in: field surveys; questionnaire surveys; local studies- community informed about: field surveys; questionnaire surveys; local studies- community informed about: appraisal criteria; criteria weightings; appraisal procedures; appeal procedures
7. How will the project start?	<ul style="list-style-type: none">- project imposed by agency from above- project selected by agency with/without community's participation- request for project made at the regional level- request for project made at the district/local level- request for the project made by the community leader(s)- project requested by the whole community
8. What is to be done when a community is not selected for a project?	<ul style="list-style-type: none">- inform all communities about the selection criteria and placings- inform the community that is rejected the reasons for rejection- establish appeal or reapplication procedures- inform communities about such procedures- assist communities in making appeals

Questions	Points to consider
	<ul style="list-style-type: none">- inform communities about the time delays likely to occur in the hearing of appeals- inform the rejected communities about the alternatives open to them in terms of other projects and activities
9. Who will have access to credit at household and community levels?	<ul style="list-style-type: none">- anyone in community- those with good economic standing only- landowners only- men only- people with insurance only- people with guarantee of community support in case of individual default- those who have made contributions in kind
10. Who will be responsible in the case of default? (Concern over this may cause hesitation to participate.)	<ul style="list-style-type: none">- borrower only- head of household- spouse- head of extended family/tribe- leaders of community/organization- all committee members- all community/organization members

Important

How well does the choice of selection criteria match the national objectives and priorities?

STAGE 9

PROJECT PLANNING AND DESIGN

Check-list 9

Questions	Points to consider
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1. Will the way in which the project is begun require different approaches?	<ul style="list-style-type: none">- selection decision to be referred back to the community leaders/the whole community- introduction to be varied and extended in an effort to stimulate greater motivation in less enthusiastic communities
2. What aspects of planning will the community be involved in? (Consider also the role of the community in reaching this decision.)	<ul style="list-style-type: none">- geographical scope of project- integration with other development sectors- siting of facilities- type and design of equipment- testing of equipment (field trials)- level of service- selection of water source- additional facilities (for watering cattle, laundry, etc.)- financing- timing- manpower allocation- field studies
3. Who in the community will be involved in planning? (Consider also the role of the community in reaching this decision.)	<ul style="list-style-type: none">- trained community level worker- selected individuals- formal leaders- informal leaders- opinion leaders- community committees- interest groups (e.g., farmers, members of cooperatives)- male heads of households- female heads of households- all members of community
4. How will the community be involved in planning? (Consider also the role of the community in reaching this decision.)	<ul style="list-style-type: none">- community to be informed about plans (choices, timing, reasons for, certain decisions, personnel involved)- community to be consulted about plans (best time, place, formal permission)- community to participate only passively (answer questions)- community to participate actively (collects data, discusses options)- community to be involved in the evaluation of alternatives- community to initiate ideas, make choices, and exercise a veto

Questions	Points to consider
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5. Will a standardized procedure exist for community participation in the planning phase?	<ul style="list-style-type: none">- standardized procedure- local variations possible
6. What will be the responsibilities of the community in the planning phase?	<ul style="list-style-type: none">- participation in planning- community information and motivation- collection of local materials- voluntary labour- other services- fund collection- safe storage of materials and equipment- acquisition of land and negotiations concerning rights-of-way- organization of ceremonies during planning phase- signing of contracts- communication of progress to the people- identification of problems- selection of community members for special tasks and trainings- data collection- data evaluation (e.g., discussion of consultant's or promoter's reports)- preparation of project agreements or legal contracts
7. Are planning decisions concerning the community to be included in a project agreement or legal contract? (<u>Very important</u>)	<ul style="list-style-type: none">- to define responsibilities- to limit misunderstandings- to emphasize significance of project- to recognize value of community participation- to bind parties contractually- to accommodate turnover of project personnel
8. What aspects of the project will be covered in an agreement or contract? (<u>Very important</u>)	<ul style="list-style-type: none">- scope of the project- type of equipment and design- level of service and ownership of facilities- selection and ownership of site- agency contributions and responsibilities- community powers and authority- community representation- penalties for failure to fulfil agreement- bonuses for early, fulfilment of agreement- timetable

STAGE 10

CONSTRUCTION OF FACILITIES

Check-list 10

Questions	Points to consider
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1. Who will act for the community during construction?	<ul style="list-style-type: none">- the local committee that participated in the planning phase- subcommittee of planning organization- new committee- existing self-help organization- other groups
2. What responsibilities will the community have?	<ul style="list-style-type: none">- arranging the work schedules- providing or storing tools and equipment- preparations of the site (e.g., marking out ground)- allocation of tasks- supervision of labour- keeping records- applying penalties/allocating rewards- management of community funds
3. What responsibilities will the community have for construction?	<ul style="list-style-type: none">- to provide paid or free labour- to provide tools- to provide local materials- to provide food for workers- to help with construction in other communities- to provide land- to provide housing for technical team
4. Will ceremonies be held (in accordance with local traditions) to celebrate landmarks in the construction? When and where?	<ul style="list-style-type: none">- choice of site, especially where religious acceptability is involved- at the beginning of construction- at landmarks during construction- at end of construction- at official handover of facilities
5. What will govern phasing of construction tasks?	<ul style="list-style-type: none">- seasonal migrations (especially of men)- religious ceremonies/seasons- other demands on labour (harvest, etc.)- effects of fasting on ability to work- effects of weather on working conditions
6. With whom should discussions be held to avoid the possibility of over-burdening communities with demands for construction labour?	<ul style="list-style-type: none">- community leaders- other agencies (to find out their plans)- local organizations- district/regional offices

STAGE 11

MANAGEMENT, OPERATION AND MAINTENANCE

Check-list 11

Questions	Points to consider
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1. Who will be responsible for the management of facilities at the local level?	<ul style="list-style-type: none">- water agency fully responsible- another agency (e.g., health)- local/district government- local water committee representing users- community member serving as manager- private owner responsible- traditional community leadership- combinations of above
2. What will be the responsibilities of the community for management?	<ul style="list-style-type: none">- reporting periodically to agency- reporting urgent problems immediately- arranging collection of taxes, water charges, etc.- organizing collection of other payments- keeping accounts- paying loans and other financial dues- signing individual contracts- paying home visits to non-payers and other problem households- organizing general meetings for elections, public reports, etc.- developing and applying regulations- dealing with users' complaints- keeping minutes of committee meetings- keeping archives, log books- organizing demonstrations and official visits- selecting and appointing operators and other staff- delegating responsibilities to operators- supervising operators- paying operators- organizing community contributions for upgrading, extension and repair of facilities
3. How will community managers be able to exchange views with other communities?	<ul style="list-style-type: none">- through water committee associations covering several communities- through periodic training sessions, meetings- informal mechanisms

Questions	Points to consider
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4. If they are to be managed by the community, will the ownership of the completed facilities be legally transferred to the community? If so, will local ceremonies be held?	
5. Who will be responsible for the operation and maintenance of public facilities at the community level?	<ul style="list-style-type: none">- mobile operators within water agency- locally based agency operator- community member recruited and trained and responsible to agency- as above but responsible to community- combination of above- local artisan (e.g. blacksmith) on contract- community members for unskilled tasks- national/regional agency responsible for back-up and supervision of local operation and maintenance
6. What criteria will be used in the selection of community members as operators?	<ul style="list-style-type: none">- level of education- knowledge of official language(s)- knowledge of local language(s)- previous related experience or skills- age- sex- not on government payroll- prolonged residence in local area- fairly sure to stay in local area- good local standing
7. Who will make the final selection?	
8. What will be the duties of the local operator of public facilities?	<ul style="list-style-type: none">- undertaking routine maintenance- doing simple repairs- reporting immediately in case of break-down- reporting periodically to supervising body- taking training and refresher courses- showing facilities to official visitors- arranging community labour- collecting water charges- helping in health education- advising people on correct use of facilities- dealing with complaints- controlling queues, disputes, etc. at standposts- applying regulations and sanctions

Questions	Points to consider
9. Who will be responsible for the promotion, operation and maintenance of individual facilities (such as private latrines)?	<ul style="list-style-type: none">- same as for public facilities- household group leaders- heads of household- community-level workers- community health committee

Chapter 6

EVALUATION

In the approach to community participation recommended here, considerable emphasis is placed on evaluation. This is because evaluation is seen as a means of fine-tuning programmes once they are under way. Moreover, it is the key to matching projects to the users' expectations.

It is recommended that:

- (a) evaluation studies should always be included in a programme;
- (b) evaluation studies should be designed as part of the initial planning stage so that necessary baseline (control) data are collected;
- (c) evaluation studies should involve as much local participation as possible.

One of the best arguments for developing community participation in development projects is that it facilitates the direct communication of local knowledge, attitudes, and perceptions to the project planners. Nowhere is this more important than in evaluating projects. Communities represent the users who have the last word regarding the success or failure of a project. They also represent a large potential body of information and the manpower resources for monitoring, evaluating, and improving the design of future programmes.

Evaluation is often a neglected aspect of development projects. The successful progress of the Decade towards its target may, however, depend on proper evaluation.

Evaluation is an operational activity
integral to the successful implementation
and continuance of projects.

It is strongly recommended that the items regarding which decisions have to be made ("Points to Consider" in Check-list 12) should not be left for later discussion, but should be an integral part of the overall planning process from the beginning.

Persons responsible for the design of evaluation and monitoring should include social scientists capable of undertaking research, people with previous experience of CP projects (especially those who were involved with the project at Stage 2), and technical personnel (of all levels) who will be responsible for implementing the projects.

STAGE 12

PERFORMANCE EVALUATION AND PROGRESS MONITORING

Check-list 12

Questions	Points to consider
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1. How will evaluation of projects at the local level be carried out?	<ul style="list-style-type: none">- records of how facilities function- feedback channels from users at local level- feedback channels to agency- regular evaluation meetings with or without agency- regular evaluation meetings with other communities- survey of user satisfaction- community involvement in data collection on user satisfaction
2. Who will undertake monitoring and evaluation activities and impact studies?	<ul style="list-style-type: none">- members of community (paid/unpaid)- community committee- community-level workers- technical operators- mobile agency team- district or regional office- agency headquarters personnel- independent national or international body- infant mortality/morbidity study teams
3. What indicators of CP activities will be monitored?	<ul style="list-style-type: none">- number and type of programme information activities- target groups identified and reached- total hours spent on different CP activities by agency (daily logs)- number and identity of key individuals contacted for each project stage- number of mass meetings held- quantity of printed information materials distributed (posters, pamphlets, etc.)- number of specialist group meetings held- number of activities centred on schools- number of people attending training courses- number of field visits made by agency personnel (all levels) to projects

Questions	Points to consider
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4. What other data on CP will be gathered at the community level (including qualitative data)?	<ul style="list-style-type: none">- communities' reactions to programme information activities- initial and continued participation of the community- type of people attending meetings- degree of participation in meetings (e.g., number and type of questions)- degree of understanding of projects- number and types of people contributing organizational help, labour, cash, etc.- number of people attending self-help work sessions- progress and performance of work force
5. What indicators will be monitored to evaluate the effectiveness of the CP programme?	<ul style="list-style-type: none">- proportion of households using improved public water supply- proportion of house/connections- membership of users' groups- proportion of households improving waste disposal facilities- proportion of households with improved water storage- proportion of households improving housing (floor type, raised stove, smokeless stove, insect control, washing facilities)- improvement in the standard of living of the most disadvantaged groups (the poor women, remote communities)- improvements in conditions around supply points
6. What will evaluation studies mainly focus on?	<ul style="list-style-type: none">- impact of information on awareness of programme, criteria, etc.- cost-effectiveness of participation in construction- cost-effectiveness of participation in management/operation/maintenance- impact of CP on users' acceptance of project- impact of CP on health knowledge, adoption of improved facilities and behaviour- impact of users' education on operation and maintenance costs (reduction of misuse, etc.)- impact of project on health- socioeconomic impact of project- impact of project on aspirations of other projects- impact of project on redistribution of burdens and benefits- in particular, impact of project on the most disadvantaged groups

Questions	Points to consider
7. What type of evaluation process will be used?	<ul style="list-style-type: none"> - a single post-project case study without any control group - a single post-project study with controls - a single post-project study comparing several communities with different types of project - pre-test and post-test studies (one baseline plus one post-project evaluation) - longitudinal studies (one baseline plus several others during construction and after the completion of project studies) - quasi-experimental studies (baseline studies in the community with project and communities without similar project (serving as controls) followed by post-project evaluation) - experimental (as above with random allocation of communities to control of project conditions)
8. What will be the criteria for evaluation of participation in the management, operation and maintenance of the project?	<ul style="list-style-type: none"> - number, duration and types of breakdown - amount of water lost through leakage - costs of operation and maintenance - costs of management - payment records - users' participation in operation and maintenance (reporting of breakdowns, provision of labour for occasional maintenance) - users' dissatisfaction (number and types of complaints) - number of water quality tests conducted at source and in households - hygiene around source - duration between breakdown and reporting
9. What will be the criteria for measuring cost-effectiveness of participation in management, operation, and maintenance?	<ul style="list-style-type: none"> - economic value of the contribution of all local workers (voluntary labour, community-level workers, committee) calculated in terms of current wages for comparable tasks - value of local materials - value of services for local workers and visiting agency personnel (food, housing) - value of revenues collected

Questions	Points to consider
	<ul style="list-style-type: none">- costs of additional CP inputs required (training, supervision, tool kits, etc.)- costs of breakdowns/delays due to poor management, operation, and maintenance- costs of book-keeping, etc.- costs of incentives and salaries- benefit in terms of self-development experience- benefit in terms of community spirit- benefit in terms of increased skills and organizational capacity among the community- benefit in terms of increased information about government programmes, etc.
10. What will be the criteria for measuring cost-effectiveness of community participation (contribution of labour, money, etc.) in construction?	<ul style="list-style-type: none">- value of cash contributions- value of land donated- value of local materials donated or sold at lower price- value of voluntary labour (compared with tender prices, construction work, wages, cost of using heavy equipment)- value of services provided (savings on housing, transport, food, etc.)- costs of manpower, materials for CP component- costs of labour instruction, training and supervision of voluntary help- costs of additional tools, food, etc.- costs of delays, conflicts- costs of poor workmanship- costs of adaptation of design- costs of changing task order- costs of incentives (reduction of water charges for workers etc.)- benefit in terms of self-development experience- benefit in terms of increased cooperation and community spirit- benefit in terms of increased skills and capabilities- benefit in terms of cash inflow to community (wages, services to agency personnel)- benefit in terms of greater acceptance and use of facilities- benefit in terms of satisfactory function of facilities

Questions	Points to consider
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11. How will the community education be evaluated?	<ul style="list-style-type: none">- number of people adopting and using improvements- number of problems arising from misuse of facilities- reduction in user complaints- attendance at education meetings, and clinics- surveys of changes in knowledge, attitudes, and practices- self-rating surveys of attitudes or knowledge changes- user satisfaction measures- reduction in incidence of specific diseases (e.g., infant diarrhoea)- reduction in infant mortality- benefits received by the most disadvantaged groups
12. What will be the criteria for measuring behavioural and attitudinal changes in the community?	<ul style="list-style-type: none">- number with better health knowledge- number with satisfactory knowledge to use the new equipment- number immunized- number using improved water and waste disposal facilities- number adopting specific hygiene practices (e.g., using soap, daily bath of children)- number using improved health facilities- reduction in water wastage- reduction in vector breeding places
13. How can the community initiate the upgrading of facilities?	<ul style="list-style-type: none">- same procedure as for new project- by application to agency- independently- procedure already covered in project documents or contracts

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It is now recognized that in water supply and sanitation projects best results are obtained only when the communities participate in the planning and execution of projects and when other sectors contribute simultaneously to the development effort. Such community participation and also intersectoral activities must be planned in great detail, with real, rather than hoped-for, financial and manpower resources committed to them from the outset.

The guidelines for planning presented in this book are simple and readily understandable and draw attention to the “what, when, where, why, how, and who” questions associated with community participation; the material presented is in the form of check-lists of points to consider. The topics covered include: assessment of a community’s potential for participation; setting of programme objectives and priorities; planning for national and regional agency support to communities; planning programme details at the community and project levels; and evaluation of activities.

Although this book is primarily intended for the planners of water supply and sanitation projects, it may also prove useful to project planners in other development sectors.